

Attorney Docket No. 4600-0130.30

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C., 20231, on:

Date: 5-19-00

By: Linda R. Judge

A13

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF:

Lim, et al.

SERIAL No.: 09/518,297

FILED: March 3, 2000

FOR: DNA BINDING COMPOUND-MEDIATED  
MOLECULAR SWITCH SYSTEM

EXAMINER: Unknown

ART UNIT: Unknown

Declaration Under 37 CFR §1.821

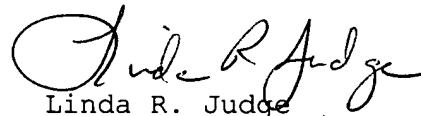
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

I, Linda R. Judge, declare and affirm as follows:

1. I am an agent for the applicant.
2. The floppy disc which accompanies this Declaration contains the required sequence listing.
3. The sequence listing recorded on said disc matches the hard copy of the sequence listing accompanying this Declaration.
4. The present submission contains no new matter relative to the application as originally filed.

Respectfully submitted,



Linda R. Judge  
Registration No. 42,702

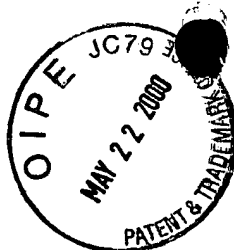
Date: May 18, 2000

Correspondence Address:

Dehlinger & Associates  
P.O. Box 60850  
Palo Alto, CA 94306  
Phone: (650) 324-0880

MAY 16, 2000

IOTA PI LAW GROUP  
LINDA R. JUDGE  
P.O. BOX 60850  
PALO ALTO, CA 94306



PTAS



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
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COPY

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/05/2000

REEL/FRAME: 010625/0793

NUMBER OF PAGES: 12

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

LIM, MOON YOUNG

DOC DATE: 03/22/2000

ASSIGNOR:

EDWARDS, CYNTHIA A.

DOC DATE: 04/20/2000

ASSIGNOR:

FRY, KIRK E.

DOC DATE: 03/28/2000

ASSIGNOR:

BRUCE, THOMAS W.

DOC DATE: 03/22/2000

ASSIGNOR:

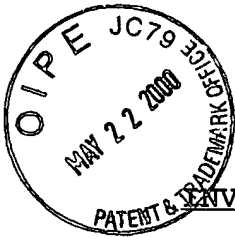
STARR, DOUGLAS B.

DOC DATE: 03/22/2000

ASSIGNOR:

LAURANCE, MEGAN E.

DOC DATE: 03/27/2000



INVENTORSHIP DECLARATION BY JOINT INVENTORS

#3

I HEREBY DECLARE THAT:

My residence, post office address, and citizenship are stated next to my name in PART A on hereof.

I believe I am the original, first, and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled

DNA BINDING COMPOUND-MEDIATED MOLECULAR SWITCH SYSTEM

the specification of which:

- ☐ is attached hereto.
- ☒ was filed on March 3, 2000 as Application Serial No. 09/518,297.

I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

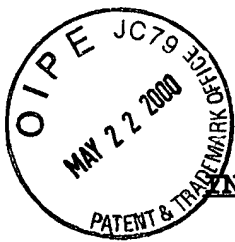
I hereby claim priority benefits under Title 35, United States Code §119 of any foreign application(s) for patent or inventor's certificate listed in PART B hereof and have also identified in PART B on hereof any foreign application for patent or inventor's certificate having a filing date before that of the application of which priority is claimed.

I hereby claim the benefit under Title 35, United States Code §119(e) and §120, of any United States application(s) listed in PART C hereof and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations §1.56 which occurred between the filing date of the prior application and any national or PCT international filing date of this application.

I hereby declare that all statements made herein of my knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Please direct all telephone calls to Linda R. Judge at (650) 324-0880. Address all correspondence to:

Iota Pi Law Group  
P.O. Box 60850  
Palo Alto, CA 94306-0850



INVENTORSHIP DECLARATION BY JOINT INVENTORS

PART A: INVENTOR INFORMATION AND SIGNATURE

Full name of FIRST inventor: Moon Young Lim

Citizenship: U.S.A. Post Office Address: 10 Lido Circle  
Redwood City, California 94065

Residence (if different):

Inventor's Signature: Moon Young Lim Date: 03/22/00

Full name of SECOND inventor: Cynthia A. Edwards

Citizenship: U.S.A. Post Office Address: 16965 Pine Way  
Morgan Hill, California 95037

Residence (if different):

Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Full name of THIRD inventor: Kirk E. Fry

Citizenship: U.S.A. Post Office Address: 2604 Ross Road  
Palo Alto, California 94303

Residence (if different):

Inventor's Signature: Kirk E. Fry Date: 3/28/00

Full name of FOURTH inventor: Thomas W. Bruice

Citizenship: U.S.A. Post Office Address: 6880 Shearwaters Drive  
Carlsbad, California 92009

Residence (if different):

Inventor's Signature: Thomas W. Bruice Date: 03/22/00

**INVENTORSHIP DECLARATION BY JOINT INVENTORS**

**PART A: INVENTOR INFORMATION AND SIGNATURE**

Full name of FIRST inventor: Moon Young Lim

Citizenship: U.S.A. Post Office Address: 10 Lido Circle  
Redwood City, California 94065

Residence (if different):

Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Full name of SECOND inventor: Cynthia A. Edwards

Citizenship: U.S.A. Post Office Address: 16965 Pine Way  
Morgan Hill, California 95037

Residence (if different):

Inventor's Signature:  \_\_\_\_\_ Date: 4/24/00

Full name of THIRD inventor: Kirk E. Fry

Citizenship: U.S.A. Post Office Address: 2604 Ross Road  
Palo Alto, California 94303

Residence (if different):

Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Full name of FOURTH inventor: Thomas W. Bruice

Citizenship: U.S.A. Post Office Address: 6880 Shearwaters Drive  
Carlsbad, California 92009

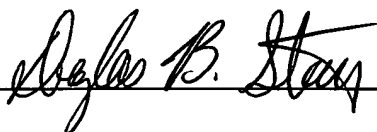
Residence (if different):

Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Full name of FIFTH inventor: Douglas B. Starr

Citizenship: U.S.A. Post Office Address: 1197 Bonita Avenue  
Mountain View, California 94040

Residence (if different):

Inventor's Signature:  Date: 3-22-00

Full name of SIXTH inventor: Megan E. Laurance

Citizenship: U.S.A. Post Office Address: 1020 Shotwell Street  
San Francisco, California 94110


Residence (if different):

Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Full name of SEVENTH inventor: Yan Kwok

Citizenship: P.R. China Post Office Address: 995-1 Belmont Terrace  
Sunnyvale, California 94086

Residence (if different):

Inventor's Signature:  Date: 3/22/00

Full name of FIFTH inventor: Douglas B. Starr

Citizenship: U.S.A. Post Office Address: 1197 Bonita Avenue  
Mountain View, California 94040

Residence (if different):

Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Full name of SIXTH inventor: Megan E. Laurance

Citizenship: U.S.A. Post Office Address: 1020 Shotwell Street  
San Francisco, California 94110

Residence (if different):

Inventor's Signature: Megan E. Laurance Date: 3/27/00

Full name of SEVENTH inventor: Yan Kwok

Citizenship: P.R. China Post Office Address: 995-1 Belmont Terrace  
Sunnyvale, California 94086

Residence (if different):

Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

INVENTORSHIP DECLARATION BY JOINT INVENTORS

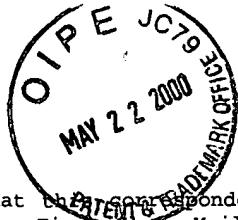
PART B: CLAIM TO PRIORITY OF FOREIGN APPLICATION(S) UNDER 35 U.S.C. 119(a-d)

Country	App. No.	Filing Date
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PART C: CLAIM TO PRIORITY OF U.S. PROVISIONAL AND NONPROVISIONAL APPLICATION(S) UNDER 35 U.S.C. 119(e) AND 120

Serial No.	Filing Date		Status
<u>60/154,605</u>	<u>09/17/99</u>	<input type="checkbox"/>	Patented
		<input checked="" type="checkbox"/>	Pending
		<input type="checkbox"/>	Abandoned
<u>60/122,513</u>	<u>03/03/99</u>	<input type="checkbox"/>	Patented
		<input checked="" type="checkbox"/>	Pending
		<input type="checkbox"/>	Abandoned





I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First-Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C., 20231, on:

Date: 5-19-00

By: *Long Thun*

Docket No. 4600-0130.30

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF:

Moon Young Lim, et al.

SERIAL No.: 09/518,297

FILED: March 3, 2000

FOR: DNA BINDING COMPOUND-MEDIATED  
MOLECULAR SWITCH SYSTEM

EXAMINER: Unknown

ART UNIT: Unknown

Power of Attorney by Assignee and Certification  
Under 37 CFR §3.73(b)

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

I, the undersigned, acting on behalf of the Assignee of

☐ an undivided share of the entire right, title, and interest

☒ the entire right, title and interest

in the above-identified patent application, appoint the attorneys and agents listed below to prosecute this application and transact all business with the U.S. Patent and Trademark Office in connection therewith. This appointment is to the exclusion of the inventor(s) and their attorney(s) and agent(s) in accordance with the provisions of 37 CFR 3.71.

All prior powers of attorney for this application are hereby revoked. The appointed representatives are:

Peter J. Dehlinger, Registration No. 28,006  
Judy M. Mohr, Registration No. 38,563  
LeeAnn Gorthey, Registration No. 37,337  
Linda R. Judge, Registration No. 42,702  
Michael L. Gencarella, Registration No. 44,703  
Michael T. Gabrik, Registration No. 32,896  
Gregory L. Heinkel, Registration No. 44,755

all affiliated with Iota Pi Law Group.

Direct all telephone calls to Linda R. Judge at (650) 324-0880. Address all correspondence to:

**Iota Pi Law Group  
P.O. Box 60850  
Palo Alto, CA 94306  
Telephone: (650) 324-0880**

In accordance with 37 CFR 3.73(b), I hereby certify that I am empowered to act on behalf of the Assignee. To the best of my knowledge and belief, title is in the Assignee, as evidenced by the Assignment noted above.

I further declare that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, USC §1001 and that such willful false statements may jeopardize the validity of the this application or any patent resulting therefrom.

**ASSIGNEE:** Genelabs Technologies, Inc.

Signature: Heather C. Keller

Typed Name: Heather C. Keller

Title: Vice President, Legal Affairs

Date: 5/11/00

Address: 505 Penobscot Drive, Redwood City, CA 94063

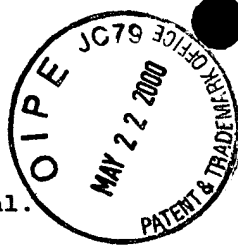
Attorney Docket No.: 4600-0130.30

Applicant: Moon Young Lim, et al.

Serial No.: 09/518,297

Filing Date: March 3, 2000

For: DNA BINDING COMPOUND-MEDIATED MOLECULAR SWITCH SYSTEM



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Small Entity Statement Under  
37 CFR 1.9(f) and 1.27(c) - Small Business Concern

I hereby declare that I am:

- ☐ The owner of the small business concern identified below:
- ☒ An official of the small business concern empowered to act on behalf of the concern identified below:

Name of Concern: Genelabs Technologies, Inc.

Address of Concern: 505 Penobscot Drive  
Redwood City, California 94063

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR §121.12, and reproduced in 37 CFR §1.9(d), for purposes of paying reduced fees under 35 U.S.C. §41 in that the number of employees, including those of its affiliates, does not exceed 500 persons and the concern has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey, or licenses, any rights in the invention to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization under this section. For this section, concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both. The number of employees of the business concern is the average over the fiscal year of the persons employed during each of the pay periods of the fiscal year. Employees are those persons employed on a full-time, part-time or temporary basis during the previous fiscal year of the concern. I hereby declare that rights under contract or law in the above-identified application have been conveyed to and remain with the small business concern identified above.

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR §1.9(d) or by any concern which would not qualify as an independent inventor under 37 CFR §1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR §1.9(d) or a nonprofit organization under 37 CFR §1.9(e).

NOTE: Separate statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR §1.27).

Name: \_\_\_\_\_

Address: \_\_\_\_\_

☐ individual    ☐ small business concern    ☐ nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR §1.28(b)).

U.S. Patent Application No. 09/518,297

Attorney Docket No.: 4600-0130.30

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this statement is directed.

NAME OF PERSON SIGNING: Heather C. Keller

TITLE OF PERSON SIGNING: Vice President, Legal Affairs

ADDRESS OF PERSON SIGNING: 505 Penobscot Drive, Redwood City, CA 94063

Signature: Heather C. Keller

Date: 5/11/05